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# Sharing Heritage - Receiving a grant

September 2017



Heritage Lottery Fund  
**Sharing Heritage – Receiving a Grant**

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## **1 Introduction**

This document will help you to request payment from HLF and report on the progress of your project. We are committed to being flexible in our approach, working responsively, proactively and collaboratively. Your case officer will remain your main contact throughout the delivery of your project.

You must comply with the HLF *terms of grant* and additional requirements set out in your *Grant Notification letter*. You must also address any issues we identify in the course of monitoring, and follow the requirements specified in the Programme Application guidance, the *How to acknowledge your grant* guidance and any other material we refer to. All guidance is available on our website.

In certain circumstances we may choose to vary any of the procedures set out in this document.

We will carry out checks at the end of the project to confirm that it delivered the benefits expected.

### **1.1 Filling in online forms**

You will need to fill in two standard forms (accessed via the [Heritage Lottery Fund website](#)) as part of our monitoring process. We will ask you to send copies of documents to accompany the forms and you can attach files (of less than 5Mb in total) online.

The forms you need to complete will be automatically released to the area of the website you used to complete your application. There are two standard forms:

- Permission to start and grant payment request (comprising one form)
- End of Grant report

There is also a form available on the portal which you can use for requesting acknowledgement materials from us.

### **1.2 Before Starting**

Before you can start your project and receive a grant payment, you need to complete a 'Permission to start and payment request' form – further details below. This form also incorporates your grant payment request.

You should not start any work on your project until you have our written permission to do so. If you do so it is at your own risk. We will not make any grant payments to you until permission to start has been approved.

You must complete and submit the 'Permission to start and payment request form' online and send the hard copy to your case officer, complete with at least two signatures. Once authorised, you can then start work on your project.

Please remember that you must advertise all new staff posts, even if the cost is under £10,000. We may ask to see evidence of the recruitment procedure you go through so please keep these records safe. If the person(s) to be appointed has links with any senior members of staff at your organisation - i.e. any close friends, relatives, or ex-members of staff - you must obtain our written permission first.

The same applies to purchasing goods and services. If you intend to use any consultants, contractors, or suppliers who are linked – i.e. are close friends, relatives, ex-members of staff working at these consultants, contractors or suppliers – with any senior members of your organisation, or if there any financial link such as ownership of these suppliers you must obtain our written permission first.

Fees for any consultants or other professionals that you recruit during the project should be in line with professional guidelines and be based on a clear written specification.

### **1.3 When your project finishes**

Once your project is complete you must fill in and submit an 'End of grant report' form. When you submit this you will also need to attach images of your project and include information on how you have acknowledged and promoted National Lottery players' funding.

Your case officer may contact you and ask you to provide copies of the receipts and invoices that you have provided information about within your form. It is therefore very important that you keep these in a safe place. Please see section 5 below for further information.

The following information offers guidance for each of the forms you will need to complete.

## **2 Permission to start and grant payment request**

You will need to complete the form online with the following attachments:

- Your bank account details
- Proof of ownership/leasehold requirements, if relevant
- Details of statutory permissions required and obtained, if applicable

We will use the information you supply with this form to help us monitor your project's progress and performance. As standard, we will only pay towards costs incurred after you have obtained our permission to start.

Once the form is completed and submitted online, print a hard copy of the form only, sign and date it in both relevant places (with signatures from at least 2 members of your organisation who have the authorisation to do so) and then send it to your case officer for HLF approval. By signing the declaration, you are confirming that your organisation understands and accepts the grant award along with the Standard terms of Grant and all the associated requirements.

Once we have approved your request we will return a copy of the form to you and will authorise the payment of your grant. You can then start work on your project.

We aim to release funds within 15 working days of receiving your request provided you have sent us the information that we ask for. Payment will be made to the account submitted to HLF as set out within the 'Permission to start and grant payment request' form. We will only release funds against agreed costs that meet the approved purposes and will deliver the intended outcomes.

## **2.1 Approved purposes**

This section defines the project and displays the approved purposes against which HLF will measure the progress of your project. These are the same as those listed within your *Grant Notification Letter*. They will pull through automatically and you do not need to edit these.

## **2.2 Agreed costs**

This section displays the costs agreed as part of your grant award. All money spent on the project will be reported against these headings. The second table shows the agreed project income.

## **2.3 Summary of changes**

If you need to make any changes to the project timetable included within your application form, please use the box provided to give an explanation of the changes and why they are needed.

## **2.4 Proof of ownership**

If applicable, we expect you to own any property (land, buildings, heritage items or intellectual property) on which you spend the grant. See appendix B.

## **2.5 Statutory permissions and licences**

If applicable, please state which permissions you require for your project to comply with statutory requirements.

You should get statutory approvals or permissions that you need for your project before work starts. There may be other licences involved which are not listed below but frequent examples include:

- planning permission
- listed building consent
- scheduled monument consent
- conservation area consent
- building regulations
- bat licence
- tree felling licence
- newt licence

## **2.6 Bank account details**

We will pay your grant by bank transfer (BACS). We will not make payments into personal bank accounts and the grant can only be paid to the organisation named in the grant notification letter. We suggest that you may wish to set up a separate bank account for your project so that the project's finances can be easily monitored.

We will need to see a copy of a recent bank statement (within the last three months), or a cheque or a paying-in slip for the relevant account, showing the bank's name and address. You can attach a scanned version of any of these documents to your form.

## **2.7 Permission to start checks and grant payment request**

This section includes the payment request for your grant. You will need to answer three questions about your partnership funding and permissions. Please use the drop down boxes to answer as applicable.

Any partnership funding set out within your approved costs should be in place before permission to start can be granted by HLF staff. You will need to provide evidence of this, such as a letter confirming the amount, as part of your 'Permission to start and grant payment request' form submission. Please contact your Grants Officer if you have any questions about this.

## **2.8 Declaration**

By submitting your application form online, you (and your partners, if any) have confirmed that your organisation accepted the standard terms of grant available on our website for the Sharing Heritage programme. We ask you to sign this Declaration with your Permission to Start for our records.

### **Submission**

Use the attach button to upload any attachments you wish to submit with the electronic form.

Once you have completed the form, print and sign the permission to start and payment request form and post the signed original to your case officer.

## **3 Payment of your grant**

Unless you have received a 100% grant award, we pay a proportion of the costs you have incurred based on your agreed costs. The payment percentage is based on cash contributions to your project and is the same as your grant percentage which is confirmed in your Grant Notification Letter.

### **Worked example:**

Total project costs are £8,000, the grantee cash contribution is £800 and the HLF grant award is £7,200. The award percentage is therefore 90% (grant award divided by total project cost).

We aim to release funds within 15 working days of receiving your request provided you have sent us the information that we ask for.

## **4 Updating us on your project**

Once you have received permission to start the project and your grant payment you do not need to submit any other forms until you have completed the project and are ready to submit your End of grant report, unless further information is requested.

However, you must contact your case officer about any problems or issues that arise during the course of your project so that we can respond and support you as appropriate. If something significant occurs which is likely to lead to changes in the costs, serious delays, or a failure to

deliver the approved purposes and outcomes you agreed in the Permission to start documentation you will need to let your case officer know as soon as possible.

#### **4.1 Changes**

You cannot change the Approved Purposes of your project as set out in your grant notification letter without first seeking the agreement of your case officer. If you do want to make any changes to your Approved Purposes you must send your case officer written details of your reasons for the change and explain how it will affect:

- the cost of your project
- the quality of your project
- the time you need to finish your project

Also tell your case officer about any changes or events which may prevent your project from achieving its Approved Purposes or affect its viability. We may take any action we consider necessary.

Any changes that are agreed with your case officer should also be reported in your End of Grant report.

#### **4.2 Timetable**

If you think that you will not be able to complete your project before the grant expiry date then please contact your case officer who will be able to discuss this with you. We cannot guarantee an extension and do not expect these projects to last more than two years.

### **5 End of Grant report**

Fill in and submit your End of grant report as soon as possible after:

- your project is completed and you have achieved your Approved Purposes
- you have acknowledged our grant and promoted the National Lottery in accordance with the 'How to acknowledge your grant' guidance
- you have a 'Practical Completion Certificate' (for a building project only); and
- you are able to supply all the additional information we require including images and proof of acknowledgment of our funding.

#### **5.1 Completion summary**

Use the table provided to summarise how you have met the Approved Purposes of your project. Tell us about your achievements and successes, as well as things that didn't go as expected.

#### **5.2 Changes**

As explained in section 3, you must have received the approval of HLF before making any change to the approved purposes.

If applicable, use the table provided in this section to tell us about any changes that you made during the course of your project and the effect this had on its approved purposes, timetable or costs.

### **5.3 Use of volunteers and non-cash contributions**

If in your application form you included information on any volunteer involvement or non-cash contributions that would be given to the project, you should use this section of the form to tell us about the support you received.

### **5.4 Recruitment of Staff**

If applicable, use the table provided to give information on any new fixed-term contracts, secondments (people who are temporarily transferred to your organisation) and the costs of freelance staff to help your project.

All staff posts must be advertised, with the following exceptions:

- If you have a suitably qualified member of staff on your payroll that you are moving into the post created by your HLF project. You will need to provide a job description for this post.
- If you have a suitably qualified member of staff on your payroll whose hours you are extending so that they can work on the project. In this case we will fund the cost of their additional hours spent on the project and you will need to tell us about the role they will undertake.

If you are moving an existing member of staff into a post created by the project, then we can either pay for the cost of this member of staff, or for the cost of backfilling their post.

All salaries should be based on sector guidelines or similar posts elsewhere.

### **5.5 How the grant has been spent**

Complete the table provided to demonstrate how you have spent the grant. The table will automatically add up all invoices entered and calculate the eligible cost of each invoice based on the information you enter.

- In the first column, you should list all the individual items or activities that your grant was spent on using the HLF headings that in are in Question 7a of the application form and which are confirmed in your grant notification letter. An example might be 'Equipment and materials' or 'Training for volunteers'
- in the next three columns you should provide the invoice reference (if applicable), the date of the invoice and the name of the supplier
- use the fifth column to provide a brief description of the item
- in next column you need to enter the total amount of the invoice
- in the final column, enter the amount that relates your project. This may be the same as the previous column; however there may be a difference if your invoices include items which are not part of your eligible costs.

You do not need to submit any invoices with your report but it is very important that you keep them in a safe place. Your case officer may occasionally ask for copies of invoices or receipts as proof of your expenditure as part of our auditing processes. If that happens you must send these documents. All proof of costs must be dated after the grant award date and before the grant expiry date.

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If any of your invoices include costs which are not part of your eligible costs, you must provide a breakdown of the invoices showing clearly which costs we have agreed to support.

If requested, for amounts of less than £250 you should submit a table of costs which specifies the date, amount and description of each item of expenditure, instead of the individual invoices. The total of your table should be shown as a single line on your project costs table.

If applicable, please use the box provided to explain why you have spent your grant on different things from what was agreed at the start of your project and how this has allowed you to achieve your approved purposes. You should also provide details of contact you had with us to agree those changes.

You will need to return any grant that you have not spent to HLF. Based on the information you provide in the project costs table the form will automatically calculate whether there has been an under spend.

If during the course of your project you think that you might under spend on your project, you may wish to contact your case officer to discuss any proposals you may have to use this. Please do not spend any unspent funds without prior approval.

You should also contact your case officer if you would like to move any funds between your approved cost headings. You will need to receive their written permission before you make any changes to the project budget.

## **5.6 Evaluation and records**

### **Photographs**

The photographic record over the duration of your project should include at least five high-resolution digital images in electronic format showing different aspects of your project.

The pictures should show your project in action and its outcome. You should also provide a sample of photos that show your project before, during and after it is finished. Please also let us know if material from your project is available on the internet and where this can be found.

We may make use of your photographs in publicity material. Before you provide us with any images, you must ensure that the necessary consents are in place for that.

Please also send us copies of records of events or activities that you have run.

### **Acknowledgement and promotion of your National Lottery grant**

As part of your grant contract you commit to acknowledging your HLF grant and promoting the National Lottery. Please give us an overview of the steps you will take to do this during the delivery of your project and after its completion, in accordance with the *How to acknowledge your grant* guidance.

When submitting your End of Grant report you should provide an outline of how, where and when you featured the joint Heritage Lottery Fund/National Lottery branding at your project and on your website. You should also provide an overview of how you promoted National Lottery funding of your project in the media e.g. through local press/broadcast coverage, online and through regular social media activity; at project events and openings.

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More ideas on acknowledgement and promotion, and the branding we expect to be featured, can be found on our website in the [running your project section](#).

If you need any help or have any questions about how to acknowledge your grant please contact your case officer.

**Evaluation**

In your application we asked you to think about the outcomes you thought your project would achieve. Thinking back to this, the End of Grant report asks you to comment on what you think the project *did* achieve. We'd like you to write a brief anecdote or story about the project, and tell us which outcome, or outcomes, you think it demonstrates that your project achieved.

**Submission**

Use the attach button to upload any attachments you wish to submit with the electronic form.

## **Appendix A: Additional definitions**

**Approved purposes** – the purposes for which you have been offered a grant and how you plan to carry out those purposes as set out in your application and confirmed in our letter awarding you the grant and any additional information as set out in the Permission to Start and subsequent correspondence.

**Approved costs** - The costs we have agreed to contribute towards as set out in your grant award notification letter.

**Award/grant percentage** –calculated by dividing the grant award value by total project cost.

**Back-filled post** - is a job that is vacated within your organisation when that person on a new role as part of your project and where the intention is for them to return to their original work once the project is finished.

**Increases or decreases in the approved cost** – The costs of the project may increase or decrease. Where a project increases during the course of the project we will only consider increasing your grant in exceptional circumstances. In this case you will have to provide further information.

If the final cost of your project is lower than the agreed cost, we will reduce your grant in line with the agreed overall grant percentage.

## **Appendix B: Property ownership**

If you are successful with your Sharing Heritage application, we expect you to own any property (land, buildings, heritage items or intellectual property) on which you spend the grant.

### **Land and buildings**

For projects involving buying or carrying out capital work to land or buildings, we expect you to own the freehold or have a lease of sufficient length for you to fulfil our standard terms of grant. If you do not meet our ownership requirements, we will need you to improve your rights (for example, by changing or extending a lease) or include the owner as a partner in your application.

- For projects involving work to a building or land, if your organisation does not own the freehold, you will need a lease with at least five years left to run after the expected date of your project's completion. Otherwise, you will need to provide a letter from the owner, saying that you have the owner's permission to carry out the work. The owner will also need to sign a letter that we will prepare, agreeing to keep to our standard terms of grant
- If your project involves buying land or buildings, you must buy them freehold or with a lease with at least 99 years left to run after the expected project completion, and the terms of grant will last in perpetuity.
- We do not accept leases with break clauses (these give one or more of the people or organisations involved the right to end the lease in certain circumstances)
- We do not accept leases with forfeiture on insolvency clauses (these give the landlord the right to end the lease if the tenant becomes insolvent)
- You must be able to sell on, sublet and mortgage your lease but if we award you a grant, you must first have our permission to do any of these

### **Heritage items**

For projects involving buying a heritage item or carrying out conservation work to a heritage item (for example, a steam train or a painting), we expect you to buy or own the item outright.

### **Digital outputs**

If you create digital outputs we expect you either to own the copyright on all the digital material or to have a formal agreement with the copyright owner to use the material and to meet our requirements.